

USSN: 10/501,606
Atty. Dkt. No.: PP018892.0003
2300-18892

PATENT

CERTIFICATE OF MAILING PURSUANT TO 37 CFR § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 13, 2007.

6/13/07
Date

Michelle Hobson
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

VAJDY et al.

Serial No.: 10/501,606

Filing Date: April 11, 2005

Title: HIV VACCINE FOR MUCOSAL
DELIVERY (as amended)

Examiner: S. Snyder

Group Art Unit: 1648

Confirmation No.: 9598

Customer No.: 27476

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(b)**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,
Applicant(s) hereby submits the following information in conformance with 37 C.F.R.
§§1.97 and 1.98.

- Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08 is enclosed.
- No copy of the publication ____ listed on the attached Form PTO/SB/08A are being provided because the Office waives the requirement under 37 C.F.R. 1.98 (a) (2) (i) for submitting a copy of each cited U.S. patent and each U. S. patent application publication for all U.S. national patent applications filed after June 30, 2003.
- No copies of the publication ____ listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in

prior Application Serial No. _____ to which the above-identified application claims priority under 35 U.S.C. §120.

- Publication(s) B1 and C1-C5 listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to European application serial no. 03729676.1 and mailed on September 26, 2006 and Publication(s) B1 and C3 and C4 listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to European application serial no. 03729676.1 and mailed on June 13, 2006 and.
- Enclosed is a copy of a non-English publication(s) _____. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- Enclosed is a copy of a non-English publication(s) _____. English language publication ____ (copy enclosed) claims priority from this non-English publication.
- Enclosed is an explanation of non-English publication(s) ____ for which an English translation is not available.
- Enclosed is an English translation of non-English publication(s) ____ cited in the attached Form PTO/SB/08A.
- Enclosed is a copy of pending patent Application Serial No. _____.

This Information Disclosure Statement is filed within any one of the following time periods:

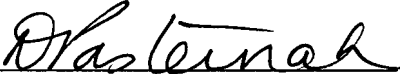
- within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;
- before the mailing date of a first office action on the merits; or
- before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. §1.114.

This Information Disclosure Statement under 37 CFR § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

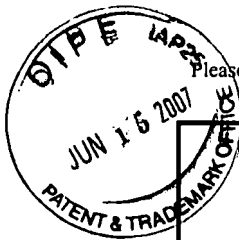
It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Respectfully submitted,

Date: June 13, 2007

By: 
Dahna S. Pasternak
Registration No. 41,411

NOVARTIS VACCINES AND DIAGNOSTICS, INC.
Intellectual Property - R440
P. O. Box 8097
Emeryville, CA 94662-8097



Please type a plus sign (+) inside this box →

+

PTO/SB/08A (08-00)

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete if Known	
		Application Number	10/501,606
		Filing Date	April 11, 2005
		First Named Inventor	VAJDY et al.
		Group Art Unit	1648
		Examiner Name	S. Snyder
Sheet	1	of	1
		Attorney Docket Number	PP018892.0003 (2300-18892)

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code ² <i>(if known)</i>		

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ <i>(if known)</i>			
	B1	WO	98/42375	A	Chiron Corporation	10-01-1998	

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	C1	De Haan et al., "Mucosal immunogenicity of the Escherichia coli heat-labile enterotoxin: Role of the A subunit," Vaccine 14:260-268 (1996)	
	C2	McCluskie et al., "Mucosal immunization of mice using CpG DNA and/or mutants of the heat-labile enterotoxin of Escherichia coli as adjuvants," Vaccine 19:3759-3768 (2001)	
	C3	Singh et al., "Mucosal immunization with HIV-1 gag DNA on cationic microparticles prolongs gene expression and enhances local and systemic immunity," Vaccine 20:594-602 (2002)	
	C4	Vajdy et al., "Induction of anti-HIV humoral and cell-mediated immune responses by mucosal immunizations using adjuvants and virus-like particles," 7 th Conference on Retroviruses and Opportunistic Infection, San Francisco, CA January 30 – February 4, 2000	
	C5	Verweij, et al., "Mucosal immunoadjuvant activity of recombinant Escherichia coli heat-labile enterotoxin and its B subunit: Induction of systemic IgG and secretory IgA responses in mice by intranasal immunization with influenza virus surface antigen," Vaccine 16:2069-2076 (1998)	

Examiner Signature	Date Considered
---------------------------	------------------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number.

² See attached Kinds of U.S. Patent Documents.

³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

⁶ Applicant is to place a check mark here if English language Translation is attached.